INTELLIGENCE OVERSIGHT CHECKLIST

UNIT DESIGNATION AND LOCATION _____

INSPECTION TEAM CHIEF _____ DATE _____

20000 – Intelligence Oversight

References: Executive Order 12333, DoDD 5240.1, DoD Regulation 5240.1-R, AR 381-10/ AFI 14-104, CNGBI 2000.1, NGR 20-10/ANGI 14-101, KSNG SOP 381-10

		GO	NO GO	N/A
1	Does the unit have a primary and an Alternate IO Monitor appointed on a memorandum? Reference: NGR 20-10/ ANGI 14-101, Chapt 3-1a Evaluated Item: Duty Appointment Memo			
2	Is the IO Monitor appointment letter posted in work area? Reference: NGR 20-10/ ANGI 14-101, Chapt 3-1f(1) Evaluated Item: IO Appointment Letter, Bulletin Board			
3	Is each IO Monitor trained IAW KSNG SOP 381-10? Reference: KSNG 381-10, Chapt 2-1c Evaluated Item: Training Records (3 years)			
4	Did IO Monitors conduct IO training and maintain records of this training for three calendar years, to include the dates personnel received training? Reference: CNGBI 2000.1, Enclosure A, para 3b(2) Evaluated Item: Training Documentation			
5	Did intelligence personnel identify the organization's IO Monitor and know how to establish contact? Reference: CNGBI 2000.1, Enclosure A, para 3c(6) Evaluated Item: Question Intelligence Personnel			
6	Do unit personnel know the identity of the IO and Alternate IO Monitors and are they aware of restrictions placed on their organization as well as the purpose of IO? Reference NGR 20-10/ ANGI 14-101, Chapt 3-1a Evaluated Item: Training Documentation (Brief, Sign-in Rosters) (3 years) and Questioning Personnel			
7	Did the unit test personnel to confirm that they can identify, at a minimum, the regulations and instructions governing reporting procedures on Questionable Intelligence Activity (QIA) and the identity of the IO Monitors? Reference: CNGBI 2000.1, Enclosure A, para 3b(3) Evaluated Item: Training Documentation, MFR, and/or Questioning Personnel			

8	Did personnel identify regulations governing reporting procedures on questionable activities and the identity of the Intelligence Oversight Officer? Reference NGR 20-10/ ANGI 14-101, Chapt 3-1c Evaluated Item: Questioning Personnel			
9	Have incoming personnel received oversight training within 30 days upon joining the unit? Reference: NGR 20-10/ ANGI 14-101, Chapt 3-1a Evaluated Item: Training Documentation (3 years)			
10	Have unit personnel received annual refresher IO training? Reference: NGR 20-10/ ANGI 14-101, Chapt 3-1a Evaluated Item: Training Documentation (3 years)			
11	Does the unit have a current copy of each required reference in a tabbed "IO Smartbook?" _____ **Executive Order 12333** (United States Intelligence Activities) _____ **DoD Directive 5148.11** (Assistant to the Secretary of Defense for Intelligence Oversight (ATSD(IO)) _____ **DoD Directive 5200.27** (Acquisition of Information Concerning Persons and Organizations not Affiliated with the Department of Defense) _____ **DoD Directive 5240.1 (**DoD Intelligence Activities) _____ **DoD Regulation 5240.1-R**, (Procedures Governing the Activities of DoD Intelligence Components that Affect United States Persons) _____ **AR 381-10** (US Army Intelligence Activities)/ **AFI 14-104** (Oversight of Intelligence Activities) _____ **NGR 20-10/ANGI 14-101 (**Inspector General Oversight Procedures) _____ **Intelligence Oversight Monitor Appointment** _____ **Intelligence Oversight Training Checklist** _____ **Intelligence Oversight Standard Briefing and POI** _____ **Intelligence Oversight Inspections** _____ **Intelligence Oversight Scenarios** _____ **Intelligence Oversight Program Helpful Information** (Frequently Asked Questions, IG Intelligence Oversight User Guide, Web Site Information, Helpful Ideas) _____ **Messages & Memoranda Related to Force Protection and Intelligence Oversight** (_The following two references are not listed specifically in the SOP and NGR as required to have on hand, but should be included in the IO Smartbook._ _____ **_CNGBI 2000.1_** _(National Guard Intelligence Activities)_ _____ **_KSARNG SOP 381-10_** _(Intelligence Oversight_)) Reference: NGR 20-10/ ANGI 14-101, Chapt 3-1f(2); KSNG SOP 381-10, Chapt 2-1d and Appendix A Evaluated Item: IO Smartbook			
12	Does the unit maintain an IO Continuity Book containing at a minimum copies of: applicable regulations and instructions; Standard Operating Procedures (SOP); training materials and documentation; IO Monitor appointment letters; records of IO SAVs and inspections; annual file review certification; self-inspection reports; and Memorandums for Record (MFR)? Reference: CNGBI 2000.1, Enclosure A, para 3b(4)			

	Evaluated Item: IO Continuity Book (Hard Copy or Electronic Version)			
13	Does the unit have an SOP or a policy memo outlining its IO program? Reference: NGR 20-10/ ANGI 14-101, Chapt 3-1 Evaluated Item: Unit SOP or Policy Memo			
14	Are the State IO policy and applicable references maintained and available to the organization in hard copy and/or electronic format? Reference: CNGBI 2000.1, Enclosure A, para 3b(5) Evaluated Item: IO Book and/or Bulletin Board			
15	Does the unit have a standard IO Brief (that minimally includes applicable regulations/SOPs, restraints, guidelines of the duty, and minimum familiarity standards) for personnel assigned to the J2/G2 section? Reference: KSNG SOP 381-10, Chapt 2-2a Evaluated Item: Brief			
16	Has initial IO training for S2/G2 personnel been conducted within 90 days of arrival and documented on the IO Training Register? KSNG SOP 381-10, Chapt 2-2a; CNGBI 2000.1, Enclosure A, para 3c(4) Evaluated Item: IO Training Register (3 years)			
17	Have all personnel assigned to the S2/G2 received annual refresher IO training that minimally includes applicable regulations/SOPs, restraints, guidelines of duty, and Minimum Familiarity Standards? References: NGR 20-10/ ANGI 14-101, Chapt 3-1f5; KSNG SOP 381-10, Chapt 2-2b; CNGBI 2000.1, Enclosure A, para 3c(4) Evaluated Item: IO Training Register (3 years)			
18	Is annual refresher IO Training annotated on the yearly training schedule? Reference: NGR 20-10/ ANGI 14-101, Chapt 3-1a Evaluated Item: Yearly Training Guidance, Yearly Training Plan, Unit Training Schedules (3 years)			
19	Does the unit have a copy of the standard IO training brief and video provided by the J-2? Reference: KSNG SOP 381-10, Chapt 2-2c Evaluated Item: Training Brief and Video			
20	Are compliance inspections conducted as part of the Command Inspection Program? KSNG 381-10, Chapt 2-3a Evaluated Item: Previous CI Results			
21	Is the IO program included as part of the Organizational Inspection Program			

	(OIP)? Reference: NGR 20-10/ ANGI 14-101, Chapt 3-1 Evaluated Item: OIP Memorandum/ Plan			
22	Did the unit perform a self-inspection in the final quarter of the calendar year, if the organization was not evaluated that year by an IG from one of the following organizations: the Assistant to the Secretary of Defense, Intelligence Oversight; Major Command (Army) or MAJCOM (AF); ARNG; ANG; or NGB? Reference: CNGBI 2000.1, Enclosure A, para 3b(6) Evaluated Item: Inspection Results			
23	Did the unit review all files, electronic and paper, at a minimum of once per calendar year to ensure any USPERs information is retained IAW Procedure 4 of DoD 5240.1-R? Reference: CNGBI 2000.1, Enclosure A, para 3b(8) Evaluated Item: MFR certifying that all files have been reviewed maintained in IO Continuity Book			
24	Does the IO Program include procedures to report any questionable activity? Reference: NGR 20-10/ ANGI 14-101, Chapt 3-1f(6); CNGBI 2000.1, Enclosure A, para 3d(3) Evaluated Item: IO Program SOP or Policy Memo			
25	Are personnel aware of their responsibilities to report such activities? Reference: NGR 20-10/ ANGI 14-101, Chapt 1-4b(6) Evaluated Item: IO Program SOP or Policy Memo, Question Personnel			
26	Have questionable intelligence activities been reported through the chain of command to the State IG in accordance with Procedure 15, DOD 5240.1-R within 5 working days of discovery? References: NGR 20-10/ ANGI 14-101, Chapt 2-4b; NGR 20-10, Chapt 1-4b(7); KSNG SOP 381-10, Fig 2-4; CNGBI 2000.1, Enclosure A, para 3b(9) Evaluated Items: Serious Incident Reports, Questionable Activity Reports			
27	Has the unit submitted quarterly Intelligence Oversight Reports to the Inspector General and the State IO Monitor by the 5th day after the close of the quarter? Reference: KSNG SOP 381-10, Chapt 2-7, NGR 20-10/ ANGI 14-101, Chapt 2-4c Evaluated Item: Previous Quarter IO Report			
28	Does the unit have a documented periodic file review to ensure maintenance in accordance with the IO program? Reference: NGR 20-10/ ANGI 14-101, Chapt 3-1f(7) Evaluated Item: IO Program SOP or Policy Memo			
29	For Counterdrug only:			

	Are Memoranda of Understanding (MOU's) on file stating that LEAs are responsible for obtaining the legal authorization required to permit information gathering? These MOU's will remain on file for a minimum of 2 years following the completion of CD support to the related LEA. Reference: NGR 20-10/ ANGI 14-101, Chapt 3-4b Evaluated Items: MOU			
30	For Civil Support Team only: Upon completion of operations, all information or files have been redacted of all USPERS information before being used in After Action Reviews (AARs), Mission Termination Packets or other follow up reports? Reference: NGR 20-10/ ANGI 14-101, Chapt 3-5b Evaluated Item: AAR's, Mission Termination Packets, Follow up Reports			
20000 – Intelligence Oversight Totals:				
Percent: *(('GO'/"GO"+'NO-GO)'*100)*				

COMMENTS: